



PATENT  
60709-00012

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Nancy E. Barton, et al. : Group Art Unit: 2152  
Serial No. 09/848,051 : Examiner:  
Filed: May 3, 2001 :  
For: METHODS AND SYSTEMS FOR  
COMPLIANCE PROGRAM  
ASSESSMENT :

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## Technology Center 2100

**CERTIFICATE OF MAILING**

I certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on September 18, 2001.

~~John S. Beulick, Reg. No. 33,338~~

## INFORMATION DISCLOSURE STATEMENT

1.  Pursuant to 37 CFR 1.97(b)  
[within 3 months of filing or prior to 1st Office Action]
2.  Certification Pursuant to 37 CFR 1.97(c)  
[before Final Office Action or Allowance]
3.  Fee Payment Pursuant to 37 CFR 1.97(c)  
[before Final Office Action or Allowance]
4.  Petition, Certification & Petition Fee Payment Pursuant to 37 CFR 1.97 (d)  
[before Issue Fee payment]

Hon. Commissioner for Patents  
Washington, D.C. 20231

Sir:

The following are submitted in the above identified application in compliance with 37 CFR 1.97 & 1.98:

5. ✓ A list of documents on form PTO-1449 together with copies of each identified document and a translation or a concise explanation of each non-English language document is enclosed herewith.

This Paper is submitted in accordance with:

6. ✓ 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]
7.    37 CFR 1.97(c): [before Final Office Action or Allowance, whichever is earlier]; and
8.    The required certification made in item 11 below; or

9. — The \$180 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.

10. — 37 CFR 1.97(d): [before issue fee payment]; and

— a) This is a petition for consideration of the subject Information Disclosure Statement. The petition fee (\$130.00) required by 37 CFR 1.17(i)(1) is authorized in item 14 below. (Direct this letter to: "Attention GROUP DIRECTOR, and if applicable include batch locator information: e.g., "Allowed Files, Batch \_\_\_\_\_, Date of Allowance \_\_\_\_\_"), and

— b) The required Certification is stated in item 11 below.

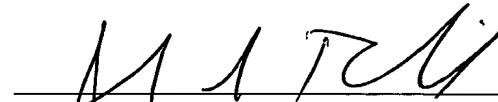
11. — Certification

12.  Each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or

13. — No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.

14.  Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 01-2384. An original and two copies of this document is enclosed.

Respectfully submitted,



John S. Beulick, Reg. No. 33,338  
Armstrong Teasdale LLP  
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**SUPPLEMENTAL INFORMATION  
DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet	1	of	1	Attorney Docket Number	60709-00012
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*Complete if Known*

Application Number	09/848,051
Filing Date	05/03/2001
First Named Inventor	Nancy E. Barton
Group Art Unit	2152
Examiner Name	

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant Of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
AA	6,148,297			Swor et al.	11/14/2000	
AB	5,939,974			Heagle et al.	08/17/1999	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
FA			WO98/11477		Fetherston, Denis	03/19/1998		

**OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the Items (book, magazine, journal, serial, symposium, catalog, etc.), data, page(s), volume-issue number(s), publisher, city and/or country where published.				T <sup>2</sup>
	BA	International Search Report, for Application No. PCT/US01/14278, filed 03 May 2001, for General Electric Capital Corporation.				
	BB	MALTBY, JOSEPHINE: "Environmental audit: Theory and practices." Managerial Auditing Journal, v10n8 pp: 15-26.				
	BC	MACHARG, MARCIA: "Making the case for legal compliance audits." International Financial Law Review, Apr 1997, v16n4, pp. 9, 13+.				
	BD	CLAYCAMP, H. GREGG, Industrial Health Risk Assessment: "Industrial hygiene for technology transition." American Industrial Hygiene Association Journal, May 1996, v57n5, pp. 423-435.				
	BE	PANNKUK, LOIS; BAUMAN, DODIE. Avoiding the perils of noncompliance. ABA Bank Compliance, May/June 2001, v22n5, pp. 40-52.				

Examiner Signature		Date Considered:
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a checkmark here if English language Translation is attached.

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